National Archives at College Park

March 21, 2002

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MEMORANDUM TO AGENCY RECORDS OFFICERS: Bimonthly Records and Information Discussion Group (BRIDG) Meeting on April 23, 2002 and February 21, 2002 BRIDG Meeting Summary.

Please mark your calendars for the next BRIDG meeting that is scheduled for Tuesday, April 23, from 10 A.M. to noon at the Department of Agriculture Jefferson Auditorium, 14th and Independence Avenue SW, Washington DC (Independence Avenue exit from Smithsonian Metro stop). The topic will be lessons learned and needs analysis in regards to Record Management Applications (RMAs).

To reserve a place for the meeting, please provide your name, telephone number, agency, and number of attendees to Merisue D'Achille on 301-713-7110, extension 262, (or email merisue.dachille@nara.gov), no later than noon on Friday, April 19, 2002.

Please note that there will **not** be a NARA Records Center Forum before this BRIDG meeting. For information on the next scheduled Records Center Forum, please contact Wendy Mallory at 301-713-7200, extension 222 (or email wendy.mallory@nara.gov).

A summary of the February 21, 2002 BRIDG meeting is attached. The topic of this meeting was "ISO STANDARD 15489-1: Information and Documentation – Records Management."

I look forward to seeing you at the April 23 BRIDG Meeting.

MICHAEL L. MILLER
Director
Modern Records Programs

Bimonthly Records and Information Discussion Group (BRIDG)
10:00 a.m. – 12:00 p.m., February 21, 2002
FDIC, 801 Seventeenth Street, NW, Washington, DC

Topic: ISO STANDARD 15489-1
Information and Documentation – Records Management

Approximately 70 people attended the latest BRIDG meeting on February 21, 2002. Michael L. Miller, Director of Modern Records Programs, welcomed the participants and thanked Ed Barrese and the Federal Deposit Insurance Corporation (FDIC) for hosting the meeting.

ISO Standard - Dr. Lewis Bellardo, Deputy Archivist of the United States

Dr. Lewis Bellardo, Deputy Archivist of the United States discussed the *ISO STANDARD 15489-1 Information and Documentation – Records Management.* He reviewed the history, approach, and development of this internationally adopted standard. The standard began as a proposal from the Australian Archives, who with support from private organizations, determined that an international standard was needed for records management compliance. Other countries negotiated the use of broader principles so that the standard could apply internationally and across all legal frameworks.

The general focus of the standard is to have trustworthy records. It includes high-level principles such as determining what information should be created and maintained to do business. It also includes principles such as ensuring that information is kept in a safe and secure environment and has the following characteristics: authenticity, accountability, reliability, integrity and usability.

Future standards are also being considered. One potential standard is the development of a tool that can be used to identify metadata needed for business and records management purposes. Another possible standard being considered is the development of documents that relate records management to other information management disciplines such as document management and knowledge management.

In relation to cross discipline issues, AIIM has asked Tim Sprehe of Sprehe Information Management Associates to chair a committee that will examine the necessity and feasibility of combining the functional requirements in the DoD 5015.2 Standard and the AIIM Standard for Document Management.

Report on Current Recordkeeping Practices - Dr. Lewis Bellardo

Dr. Lewis Bellardo discussed the status of the NARA project on Current Recordkeeping and Records Use within the Federal Government. The first phase of the project collected data about the current practices of creation, use, maintenance, and disposition of records. The NARA contractor, SRA, submitted a final, comprehensive report in December that has been available for public comment at http://www.nara.gov/records/rmi.html.

In the current phase, NARA has been conducting phone interviews with government archives and private sector organizations that have innovative records programs. With this information NARA plans to develop a records management (RM) model for use across Federal agencies. NARA is hoping to have this evolve into the development of automated tools for scheduling, appraisal, and accessioning.

Dr. Bellardo shared some broad findings from the report. It was generally stated that better recordkeeping was found in the more mission critical processes and those associated with citizens rights. Poorly implemented recordkeeping systems were more often found in programs with less defined work processes, electronic records, and those requiring the transfer of permanent records. Several conclusions were made from these findings. There are huge volumes of records in a variety of formats that need to be scheduled. Schedules are out of date. There is very little transfer of permanent records to any archives. And, there is a very limited amount of resources for solving these problems.

One business case for records management used to be the dilemma of storage space and costs. When a paper collection was too large, then records were either disposed of or transferred to a records center. Since business needs have changed as more records are created electronically, NARA needs to find a way to support agency business needs by developing tools for the control and transfer of records that will minimize risk and help agencies find what they need.

One concept under consideration is that of triaging agency programs in order to focus energy and resources at potentially important records. NARA will analyze the records in terms of permanent value, citizen rights and government accountability, and risk. Perceived risk to the records will be determined by reports from the Congress, GAO, the public, or the NARA staff. As long as the rights and accountability issues have been taken into account, NARA will not require any greater level of detail, such as inventories or file level descriptions, than the agency requires for its own business need. If there appears to be documentation of permanent value, then NARA and the agency will work to define and write descriptions for just these records. Another consideration is to include more items in the GRS, such as temporary records created to facilitate agency programs.

There are also regulatory and statutory options that are being analyzed. One idea is to make sure that retention periods are reviewed and approved by stakeholders earlier in the process. NARA is also considering exercising its statutory responsibility and reporting to Congress when NARA identifies agencies that do not appear to be running good records and information management programs. Finally, NARA is considering removing the requirement that permission is needed from NARA when an agency wants to extend its disposal time on records.

Generally there appeared to be strong approval of these potential approaches. Several Records Officers commented that these approaches validate and document what they've been thinking all along. It was stressed that limits on resources and time can be a determining factor in the success of the program. Since there are now greater volumes of records, most Record Officers agreed that consolidating schedules, regardless of medium, would be a good approach. One participant stated that in making recordkeeping as simple as possible, especially with electronic systems, that there is a greater possibility of user buy-in. The only issue where the audience

appeared to be divided was on the extended disposal requirement. Some agencies would support this change, and others would not.

Dr. Bellardo concluded his presentation by stating that he will keep records officers up-to-date on the project and thanked them for their support. Any ideas or questions should be directed to Susan Cummings, Policy and Communications Staff at susan.cummings@nara.gov.

RACO 2002 – Marie Allen, Lifecycle Management Division

Marie Allen, the Director of the Lifecycle Management Division, announced that RACO 2002 would be held on May 14th at the Ronald Reagan Building - International Trade Center. The title is "Forging Partnerships: Records Management in the 21st Century." Mark Forman, Associate Director for Information Technology and e-Government, Office of Management and Budget, will be the keynote speaker. There will also be 3 or 4 panels on topics such as vital records, web records, and program promotion. The conference offers a full day of education on current issues. With over 600 attendees as the norm, it also provides ample networking opportunities. Marie encourages those interested to register early as this is a popular event and capacity is limited.

For more information or to register please contact Marva Frazier at marva.frazier@nara.gov or 301-713-7110 x 264. More information is also available on the NARA website at http://www.nara.gov/records/raco_index.html.

Marie also stated that, along with the awards for Best Practices, NARA would like to recognize the retirement of Federal Records Officers. Please notify Nina Frederick at nina.frederick@nara.gov if you are aware of anyone's retirement.

Vital Records Seminars – Marie Allen

In response to increased interest in vital records after the September 11th attacks, NARA offered 3 free Vital Records classes for almost 500 Federal records and information managers. Marie wished to thank all those involved in providing sites or speakers for this successful series. There is a CD available for those who were not able to attend. The CD contains power point presentations, speaker's notes, text of the Executive Orders related to Vital Records, Federal Preparedness Publications and NARA's Vital Records Publication. Please contact Nina Frederick at 301-713-7110 x268 or nina.frederick@nara.gov if you are interested in obtaining a CD.

In addition, NARA is considering holding another Vital Records seminar after RACO. The seminar will be announced when plans have been finalized. Marie also stated that suggestions and comments on these seminars are welcome.

NARA Updates – Michael Miller, Director Modern Records Programs

- **Positions Available.** There are currently five GS-14 positions advertised. NARA is looking for candidates with technical expertise that could translate into the records management and archives disciplines.

- **Web Guidance.** Agencies provided useful comments the Draft Web Guidance. NARA is currently incorporating these comments in a draft that will be sent to OMB for review. More information will be available by the next BRIDG meeting. For those agencies that need immediate assistance, ROs are encouraged to contact their appraisal archivists.

- **IT GRS.** Many comments were received on the draft proposed GRS for Information Technology Records. NARA is currently incorporating these recommended changes in the next draft.

- **E-Gov Initiative (Quicksilver).** NARA is actively involved in the Records Management piece of the E-Gov initiative. By the next BRIDG meeting, NARA should be able to provide more information.

- **Final Rule on Records Disposition.** OMB is currently reviewing the final rule on records disposition. This rule is in regards to the electronic submission of manuals and whether an agency can use existing records disposition authority for an item that is covered by a new GRS.

- **Irradiated Mail.** The preservation unit at NARA is developing guidance on how to handle irradiated mail. Issues being examined are deterioration, timelines, and preservation methods.

- **Expanding Transfers.** In an effort to expand transfer options, NARA is eager to work with agencies to transfer permanent records that are in formats such as electronic mail with attachments, GIS, web, born-digital, scanned, digital video, and other records that are not in currently accepted formats. NARA would like to begin test transfers of these items in order to learn how NARA, Federal agencies, and eventually ERA, will manage these records. Various types of records are being considered, even those not currently ready for immediate legal transfer. Please contact Michael Miller at 301-713-7110 ext. 229 or micheal.miller@nara.gov if you are interested in participating in this effort.

- **Adobe/PDF.** NARA and Adobe are discussing legal, archival, and technical issues involved in using PDF for permanent records.

- **ERA.** ERA, headed by Ken Thibodeau, is developing a concept of operations, functional requirements and an overall high-level vision on how to manage permanent and temporary records. In addition ERA is considering how to eventually share the technology with Federal agencies.

Other Items

- Bill Hooten of the FBI stated that they have several RM positions available. Those interested should look at the FBI website for more information.

- There are no current updates on the Tobacco Litigation. It was recommended that ROs contact their NARA representative in regards to whether the freeze has been lifted on their particular records.

- The next BRIDG meeting will be held on **April 23rd** at the Department of Agriculture, Jefferson Auditorium, 14th and Independence Avenue SW, Washington DC. The topic will be lessons learned and needs analysis in regards to Record Management Applications (RMAs). Additional information will be available on the NARA records management web site at http://www.nara.gov/records as well as via Agency Records Officer memos.